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FOLEY & LARDNER SUITE 500 3000 K STREET, NW WASHINGTON, DC 20007-5143

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SEP 1 0 2003

In re Application of

Jonathan Richard Anthony Roffey et al

Application No. 10/009,567

Filed: April 5, 2002

Attorney Docket No. 040283-0196

OFFICE OF PETITIONS

NOTICE

This is a notice regarding your request for acceptance of a fee deficiency submission under 37 CFR 1.28. On September 1, 1998, the Court of Appeals for the Federal Circuit held that 37 CFR 1.28(c) is the sole provision governing the time for correction of the erroneous payment of the issue fee as a small entity. See DH Technology v. Synergystex International, Inc. 154 F.3d 1333, 47 USPQ2d 1865 (Fed. Cir. Sept. 1, 1998).

The Office no longer investigates or rejects original or reissue applications under 37 CFR 1.56. 1098 Off. Gaz. Pat. Office 502 (January 3, 1989). Therefore, nothing in this Notice is intended to imply that an investigation was done.

Your fee deficiency submission under 37 CFR 1.28 is hereby ACCEPTED.

Inquiries related to this communication should be directed to the Office of Petitions Staff at (703) 305-9285.

This file is being forwarded to Technology Center 1600.

Irvin Dingle

Petitions Examiner

Office of Petitions

Office of the Deputy Commissioner

for Patent Examination Policy



Atty. Dkt. No. 040283-0196

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Jonathan Richard Anthony ROFFEY et

al.

Title:

Condensed Indoline Derivatives and

their use as 5HT, in particular 5HT2C,

Receptor Ligands

Appl. No.:

10/009,567

Filing Date:

04/05/2002

Examiner:

Rebecca L. Anderson

Art Unit:

1626

STATEMENT AND SUBMISSION OF FEES UNDER 37 C.F.R. § 1.28(c)

Commissioner for Patents PO Box 1450 Alexandria, Virginia 22313-1450

Sir:

Small entity status was established in the above-identified application in good faith and fees as a small entity have been paid in good faith. It has now been discovered that small entity status was established in error. In accordance with 37 C.F.R. § 1.28(c), Applicants submit herewith the fees owed to the U.S. Patent and Trademark Office. The table below lists the fees paid and the amount owed to the U.S. Patent and Trademark Office. The TOTAL AMOUNT DUE is believed to be correct. However, the Commissioner is hereby authorized to charge any deficiency or credit any over payment to Deposit Account No. 19-0741.

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565,00 OP

Date Paid	Fee Description	Small Entity Fee Paid	Current Large Entity Fee	Deficient Payment Owed to US PTO
12/12/01	Basic National Fee (37 CFR 1.492(a)(1)-(5) Search Report has been prepared by the EPO or JPO	\$ 445.00	\$ 900.00	\$ 455.00
12/12/01	Excess of Twenty Claims (x4)	\$ 36.00	\$ 72.00	\$ 36.00
04/04/02	Surcharge for Missing Requirements	\$ 65.00	\$ 130.00	\$ 65.00
07/07/03	One Extra Claim	\$ 9.00	\$ 18.00	\$ 9.00
	Total Amount Due U.S. Patent	and Trademark	Office	\$565.00

A Notification under 37 C.F.R. § 1.28(c) is being filed concurrently with the Statement. All fees subsequent to this document will be paid at the other than small entity rate. Applicants respectfully request that this error be excused.

Respectfully submitted,

By Muene O. Kann

Michael D. Kaminski

Attorney for Applicant

Registration No. 32,904

FOLEY & LARDNER
Washington Harbour
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5143
Telephone: (202) 672-5490

Facsimile: (202) 672-5490

-2-



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jonathan Richard Anthony

ROFFEY et al.

Title: Condensed Indoline Derivatives

and their use as 5HT, in particular 5HT2C, Receptor

Ligands

Appl. No.: 10/009,567

Filing

04/05/2002

Date:

Examiner: Rebecca L. Anderson

Art Unit: 1626

NOTIFICATION OF LOSS OF ENTITLEMENT TO SMALL ENTITY STATUS UNDER 37 C.F.R. § 1.28(c)

Commissioner for Patents PO Box 1450 Alexandria, Virginia 22313-1450

Sir:

Applicants, hereby notify the U.S. Patent and Trademark Office that small entity status is no longer being claimed in the above-identified application. Accordingly, all fees subsequent to this document will be paid at the non-small entity rate. Also submitted concurrently herewith is a Statement under 37 C.F.R. § 1.28(c) along with the appropriate fees due to the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be

Atty. Dkt. No. 040283-0196

enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date August 25,2003

FOLEY & LARDNER Washington Harbour 3000 K Street, N.W., Suite 500 Washington, D.C. 20007-5143

Telephone: (202) 672-5490 Facsimile: (202) 672-5399

By Micese O. Kamei

Michael D. Kaminski Attorney for Applicant Registration No. 32,904

Foley & Lardner

3000 K Street N.W., Suite 500 Washington, D.C. 20007 PH. (202) 672-5300



December 12, 2001

No. 17397

PAY ONLY **AMOUNT*******\$481.00

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 ${\bf COMMISSIONER\ OF\ PATENTS\ \&\ TRADEMARKS}$

040283-0196

Jonathan Richard Anthony ROFFEY et al

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SUN TRUST BANK ALEXANDRIA, VIRGINIA

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FORM PTO-1390 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE ATTORNEY'S DOCKET NUMBER TRANSMITTAL LETTER TO THE UNITED STATES 040283-0196 DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 J.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) Unassigned INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED PCT/GB00/03008 August 4, 2000 August 11, 1999 TITLE OF INVENTION CONDENSED INDOLINE DERIVATIVES AND THEIR USE AS 5HT, IN PARTICULAR 5HT2C, RECEPTOR LIGANDS APPLICANT(S) FOR DO/EO/US Jonathan Richard Anthony ROFFEY, James Edward Paul DAVIDSON, Howard Langham MANSELL, Richard John HAMLYN and David Reginald ADAMS Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. \boxtimes This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. \Box This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay \boxtimes examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed \boxtimes priority date. A copy of the International Application as filed (35 U.S.C. 371(c)(2)) \boxtimes is transmitted herewith (required only if not transmitted by the International Bureau), \boxtimes has been transmitted by the International Bureau. is not required, as the application was filed in the United States Receiving Office (RO/US) A translation of the International Application into English (35 U.S.C. 371(c)(2)). X Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) are transmitted herewith (required only if not transmitted by the International Bureau). have been transmitted by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired. X have not been made and will not be made. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Applicant claims small entity status under 37 CFR 1.27 Items 12. to 17. below concern other document(s) or information included: 12. An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 13. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 14. 🖾 A FIRST preliminary amendment. A SECOND or SUBSEQUENT preliminary amendment. 15. 🔯 A Corrected Version of Published Text. 16. 🔲 A change of power of attorney and/or address letter. 17. Other items or information: Application Data Sheet



U.S. APPLICATION NO. Unassigned	(If known, see 37 C.F.R. 1	.50	INTERNATION PCT/G		APPLICATION I /03008	10.			040283-0196	NUMBER	₹
18. ⊠The followi	ng fees are subm	itted:			· · · · · · · · · · · · · · · · · · ·		FI-F.J		CALCULATION	SNC	PTO USE ONLY
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Neither international preliminary examination fee (37 CFR 1.482) nor International search fee (37 CFR 1.445(a)(2)) paid to USPTO											
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Foley & Lardner

3000 K Street N.W., Suite 500 Washington, D.C. 20007 PH. (202) 672-5300



April 4, 2002

No. 20089

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040283-0196 10/009,567

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SUN TRUST BANK ALEXANDRIA, VIRGINIA



FORM PTO-1390 (Modified) (REV 5-93) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

040283-0196

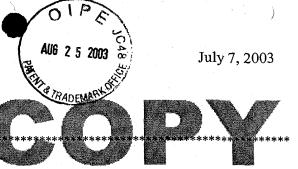
L.	C	ONCERNING A FILING	35 UNDER 35 U.S.C. 371		
				U.S. APPLIC. 10/00	ATION NO. (If known, see 37 C.F.R. 1.5) 09,567
	PCT/GB0		INTERNATIONAL FILING DATE 08/04/2000		TY DATE CLAIMED 1/1999
		VENTION ed Indoline Derivatives and the	ir use as 5HT, in particular 5HT2C,	Receptor	Ligands
API	PLICANT(S) FOR DO/EO/US			
	and David	d Reginald ADAMS			gham MANSELL, Richard John HAMLYN
Apr	olicant her	ewith submits to the United Sta	ates Designated/Elected Office (DO	/EO/US) t	the following items and other information:
1.		This is a FIRST submission of	f items concerning a filing under 35	U.S.C. 37	71.
2.	\boxtimes	This is a SECOND or SUBSE	QUENT submission of items conce	rning a fili	ing under 35 U.S.C. 371.
3.					371(f)) at any time rather than delay 371(b) and PCT Articles 22 and 39(1).
4.		A proper Demand for Internat priority date.	ional Preliminary Examination was	made by t	the 19 th month from the earliest claimed
5.			plication as filed (35 U.S.C. 371(c)(
		_	required only if not transmitted by the International Bureau.	the Intern	ational Bureau).
			application was filed in the United S	tates Rec	eiving Office (RO/US)
6.			nal Application into English (35 U.S.	• • • • • • • • • • • • • • • • • • • •	• •
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		have not been made; have not been made a	nowever, the time limit for making so and will not be made.	uch amen	dments has NOT expired.
8.		A translation of the amendme	nts to the claims under PCT Article	19 (35 U.	S.C. 371(c)(3)).
9.	\boxtimes	An oath or declaration of the i	inventor(s) (35 U.S.C. 371(c)(4)) (5	pgs.).	
10.		A translation of the annexes to 371(c)(5)).	o the International Preliminary Exan	nination R	Report under PCT Article 36 (35 U.S.C.
	\boxtimes		y status under 37 CFR 1.27.		
·		17. below concern other docum	• ,		
1			atement under 37 CFR 1.97 and 1.9		
13.			•	n complia	ance with 37 CFR 3.28 and 3.31 is included.
14.		A FIRST preliminary amendm A SECOND or SUBSEQUEN			
15.		A substitute specification.			
16.		A change of power of attorney	y and/or address letter.		
17.		Other items or information: No	otice of Missing Requirements (2 pg	s.).	:



U.S. APPLICATION NO. (IF 10/009,567	known, see 37 C.F.R. 12	MDEM		PCT/G		PPLICATION N	O.			ATTORNEY'S DOCKET I 040283-0196	NUMBER	
18. ⊠The followin	g fees are submi	tted:	1						П	CALCULATIO	NS	PTO USE ONLY
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Neither international preliminary examination fee (37 CFR 1.482) nor International search fee (37 CFR 1.445(a)(2)) paid to USPTO\$1,040.00									0		,	
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Foley & Lardner

3000 K Street N.W., Suite 500 Washington, D.C. 20007 PH. (202) 672-5300



No. 29939

PAY ONLY **AMOUNT**

******\$9.00

NINE AND 00/100 DOLLARS*****

PAY TO THE

DIRECTOR OF U.S. PATENT & TRADEMARK OFFICE

ORDER OF

040283-0196

10/009,567 ROFFEY et al.

MDKA

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1 Addtl. claim

SUN TRUST BANK ALEXANDRIA, VIRGINIA



Applicant:

Jonathan Richard Anthony ROFFEY et

al.

Title:

Condensed Indoline Derivatives and

their use as 5HT, in particular 5HT2C,

Receptor Ligands

Appl. No.:

10/009,567

Filing Date:

04/05/2002

Examiner:

Rebecca L. Anderson

Art Unit:

1626

AMENDMENT TRANSMITTAL

Commissioner for Patents PO Box 1450 Alexandria, Virginia 22313-1450

Sir:

Transmitted herewith is an amendment in the above-identified application.

- [X] Small Entity status under 37 C.F.R. § 1.9 and § 1.27 has been established by a Small Entity statement previously submitted.
- [] Small Entity statement is enclosed.
- [X] The fee required for additional claims is calculated below:

	Claims as Amended		Previously Paid For		Extra Claims Present		Rate		Additional Claims Fee
Total Claims:	25		24	=	1	х	\$18.00	=	\$18.00
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First presentation	on of any M	ultiple	Dependent	t Cla	ims:	+	\$280.00	=	\$0.00
					C	CLAIMS	FEE TOTAL:	=	\$18.00

Applicant hereby petitions for an extension of time under 37 C.F.R. §1.136(a) for the total number of months checked below:

\$0.00	\$110.00	Extension for response filed within the first month:	[]
\$0.00	\$410.00	Extension for response filed within the second month:	[]
\$0.00	\$930.00	Extension for response filed within the third month:	[]
\$0.00	\$1,450.00	Extension for response filed within the fourth month:	[]
\$0.00	\$1,970.00	Extension for response filed within the fifth month:	[]
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\$9.00	½ of above):	Small Entity Fees Apply (subtract	[X]
\$9.00	TOTAL FEE:		

- [] Please charge Deposit Account No. 19-0741 in the amount of \$9.00. A duplicate copy of this transmittal is enclosed.
- A check in the amount of \$9.00 is enclosed. [X]

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741. If any extensions of time are needed for timely acceptance of papers submitted herewith, applicant hereby petitions for such extension under 37 C.F.R. §1.136 and authorizes payment of any such extensions fees to Deposit Account No. 19-0741.

Please direct all correspondence to the undersigned attorney or agent at the address indicated below.

Respectfully submitted,

Matthew E. Mulkeen

Registration No. 44,250

Date July 7, 2003

THE PROBLEM IN COMMITTEE FOR SOME

FOLEY & LARDNER Washington Harbour 3000 K Street, N.W., Suite 500 Washington, D.C. 20007-5143 Telephone: (202) 672-5300 Facsimile:

(202) 672-5399



Title: Condensed Indoline Derivatives and their use as 5HT, in particular 5HT2C,

Receptor Ligands

Inventor(s): Jonathan Richard Anthony ROFFEY et al.Dkt. No. 040283-0196

Appl. No.: 10/009,567 MDKA (7/7/03)

Amendment Transmittal (2 pgs.);

Amendment and Response to Restriction Requirement (5 pgs.);

Appendix I (Copy of US 6,500,866);

Appendix II (Copies of references mentioned in Table 1);

Check Number 29939 for \$9.00.

Commissioner for Patents:

Please acknowledge receipt of the above-identified documents by applying the U.S. Patent and Trademark Office receipt stamp hereto and mailing this card.

Date Filed: July 7, 2003

Respectfully, Foley & Lardner MDKA/MEMU:mb Inspected by: ムルリ